



**LOCATION CORPORATE AUDIT REPORT**

Report# CA-2019-11-0039

*Updated on Nov 19, 2019*

***DongGuan City TianHua  
Photoelectric Technology Co., Ltd.***

*This Report Applies Solely for SCAN - Supplier Compliance Audit Network*

**Completed on Nov 6, 2019**

## LOCATION INFORMATION

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### **DongGuan City TianHua Photoelectric Technology Co., Ltd.**

No.3, 2nd Road, Jin Qian Ling Industrial Zone, Ji Ti Gang Village,  
Nil  
Nil  
Huang Jiang Town/Dong Guan City, Guang Dong Province, China  
523757  
0769-38844238

SCAN ID: CNN03P2526DO

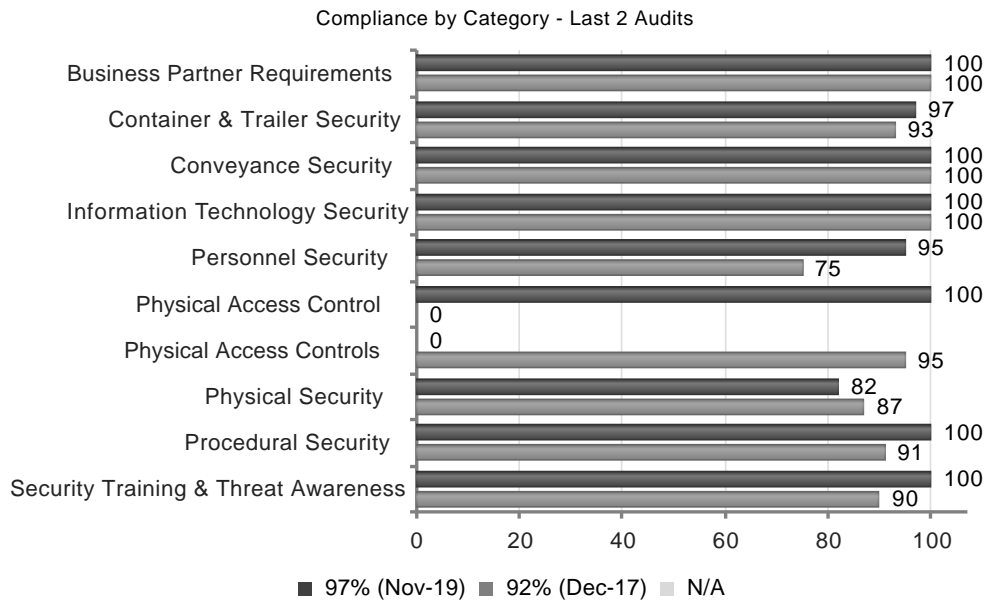
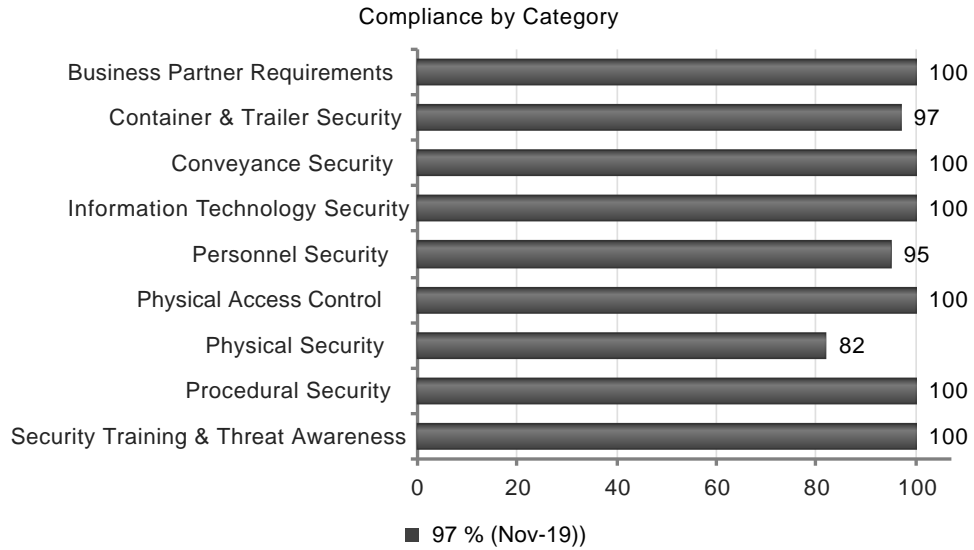
Point of Contact Name: Xu Julin/Admin Supervisor  
Point of Contact Email: sales@tianhualighting.com  
Target Month: 11/02/19

Contact Name	Phone	Email
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Location: DongGuan City TianHua Photoelectric Technology Co., Ltd.  
Primary Location: Yes  
Critical Location: No  
Assigned Auditor: SGS  
Schedule Date: 11/01/2019

**SCAN - SCAN Security Audit**  
**Audit completed on November 06, 2019**

**97 % Compliance Score**



## BUSINESS PROFILE INFORMATION

Profile Question	Response
Year Established	2009
Does the facility participate in any government, local customs, or World Customs Organization (WCO) accredited facility security program?	No
Do you hold a Certification?	No
Has the facility been reviewed or audited by this program?	Yes
Primary Industry of Operations	Manufactory
Product Type / Commodity	Portable lamps and fixed lamps
Grounds Size (Square Meters)	3300
Number of Buildings	2
Facility Size (Square Meters)	9300
Number of access points? (i.e. gates, exterior doors)	1
Hours of Operation	8 hours
Number of Employees	101 - 500
Number of Contract Employees	108
Number of Security Guards	5
Number of Migrant Workers	0
Annual Revenue	5 - 10 Million

**AUDIT RESPONSES**

<b>Overall Compliance Score: 97 %</b>	<b>Audit Sent: 11/6/2019</b>	<b>Due Date: 11/2/2019</b>
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**Business Partner Requirements** **100%**

**Question**

1. Does the facility utilize any contract services, such as security, transportation or manufacturing labor?

**Actual**

- Yes
- No

*Additional Comments: No comments were provided*

2. **Must** Does the facility have written, verifiable processes and procedures used in the selection of business partners including: material suppliers, manufacturers, and logistics service providers?

**Actual**

- Yes
- No

*Additional Comments: No comments were provided*

3. **Must** Does the facility incorporate and require minimum supply chain security requirement language in contracts with a business partners?

**Actual**

- Yes
- No

*Additional Comments: No comments were provided*

4. **Must** Are contracted business partners required to conduct and provide an annual security risk assessment of their operation? These business partners include any contract services, such as security, transportation provider, freight consolidation or manufacturing labor.

**Actual**

- No
- Yes - annually
- Yes - minimally every 2 years
- One time

*Additional Comments: No comments were provided*

5. **Should** Are contracted logistics service providers given an outline of minimum security

standards in their local language?

**Actual**

- Yes
- No
- NA

**Additional Comments:** *No comments were provided*

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**Container & Trailer Security**

**97%**

**Question**

6. **Critical** Are international shipments sealed with an ISO 17712:2013 compliant high-security seal immediately after a container or trailer is loaded?

**Actual**

- Yes
- No
- NA



[Current used seals.jpg](#)

**Additional Comments:** *No comments were provided*

7. **Must** Does the facility have written and verifiable procedures to ensure that security seals are controlled and are properly applied to a container or trailer by a designated facility representative?

**Actual**

- Yes
- No
- NA

**Additional Comments:** *No comments were provided*

8. **Critical** Are security seals stored in a secured location?

**Actual**

- Yes
- No
- NA



[Seals storage location.jpg](#)

**Additional Comments:** *No comments were provided*

9. **Must** Does the facility have a designated employee with responsibility to maintain, distribute, and handle security seals?

**Actual**

- Yes
- No
- NA

**Additional Comments:** *No comments were provided*

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10. **Must** Is the security seal number recorded on the bill of lading document and a copy of the bill of lading retained by the facility?

**Actual**

- Yes
- No
- NA

**Additional Comments:** *No comments were provided*

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11. **Must** Does the facility have written and verifiable security procedures in place to report any unscheduled stops, compromised shipments, or any unattended shipments. These procedures should be provided to their contracted logistics provider and driver? Select all that apply.

**Actual**

- Nothing in place
- Reporting requirement
- Procedure is written
- Container/trailer cannot be left unattended
- NA

**Additional Comments:** *No comments were provided*

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12. **Must** Does the facility have a written and verifiable procedure in place indicating how to recognize a suspected or compromised security seal, container or trailer structure tampering, including how to report the issue to the freight forwarder and appropriate local law enforcement?

**Actual**

- Yes
- No
- NA

**Additional Comments:** *No comments were provided*

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13. **Must** Is a written and verifiable procedure in place to require that security or shipping personnel verify the security seal number against the bill of lading when the container or trailer departs the facility?

**Actual**

- Yes

- No
- NA

**Additional Comments:** *No comments were provided*

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14. **Should** Does the facility have a written procedure in place to take photographs of a loaded container or trailer with the security seal affixed, and is photo-taking part of the written process? Select all that apply.

**Actual**

- No
- Photos taken
- Seal number in photos
- Trailer/container number in photos
- NA

**Additional Comments:** *No comments were provided*

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15. **Must** Is a loaded and stored container or trailer closed and secured with a security seal?

**Actual**

- Yes
- No
- NA

**Additional Comments:** *No comments were provided*

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16. **Must** Is a written procedure in place to report unauthorized access to a container or a trailer, and/or product storage areas within the facility including whom to notify?

**Actual**

- Yes
- No

**Additional Comments:** *No comments were provided*

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17. **Must** Is there a written procedure in place to inspect the security integrity of a container or trailer prior to loading?

**Actual**

- Yes
- No
- NA

**Additional Comments:** *No comments were provided*

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18. **Critical** Prior to loading a trailer or container does the facility conduct a 7-point inspection using a documented checklist?



**Actual**

- Yes
- No
- NA



[7 point inspection check sheet.jpg](#)

**Additional Comments:** *No comments were provided*

- 
19. **Must** Does the shipping area use equipment to conduct a 7-point container inspection?  
Select all that apply.

**Actual**

- Mirrors for undercarriage
- No tools available
- Laser distance measurer or Pre-measured string
- Tap test tool (such as a hammer)
- NA

**Additional Comments:** The factory used equipment including pre-measured string and hammer for tap test to conduct a 7-point container inspection, but not including mirrors for undercarriage.

- 
20. **Must** Does the facility maintain training records indicating which employees are trained to properly perform a 7-point container/trailer inspection?

**Actual**

- Yes
- No
- NA

**Additional Comments:** *No comments were provided*

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**Conveyance Security**

**100%**

**Question**

21. **Critical** Is driver information recorded and retained for all departing shipments?

**Actual**

- Yes
- No



[Driver log book.jpg](#)

**Additional Comments:** *No comments were provided*

- 
22. **Must** Is a written procedure in place instructing drivers to take designated routes between the origin and the port?

**Actual**

- Yes
- No

**Additional Comments:** *No comments were provided*

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23. **Must** Where possible, are transit routes from the facility to the port or next destination location randomly changed to minimize predictability.

**Actual**

- Yes
- No
- NA

**Additional Comments:** *No comments were provided*

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24. **Must** What container or trailer tracking technologies does the facility require to be used by the contracted transportation company? Select all that apply.

**Actual**

- Procedure is written
- No requirements
- GPS or other (please explain)

**Additional Comments:** The factory used GPS to track the trailer and container.

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25. **Must** Is a written and verifiable security procedure in place with contracted less than container load (LCL) service providers?

**Actual**

- Yes
- No
- NA

**Additional Comments:** *No comments were provided*

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26. **Must** Is there a procedure in place that requires an LCL container or trailer to be sealed after each stop with either a tamper evident seal or a padlock? Select all that apply.

**Actual**

- Procedure is written
- No requirements
- Padlock with key controlled by either factory and/or driver
- Tamper evident seal
- NA

**Additional Comments:** *No comments were provided*

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27. **Must** If the facility makes LCL shipments, does the facility have a procedure to validate tamper evident seals prior to removal at each stop, and do all seals accompany the load to the final destination?

**Actual**

- Yes  
 No requirements  
 NA

**Additional Comments:** *No comments were provided*

28. **Must** If the facility makes air shipments, is there a written and verifiable procedure in place outlining steps required to document shipment movement from the facility all the way to delivery to the freight forwarder or airline?

**Actual**

- Yes  
 No  
 NA

**Additional Comments:** *No comments were provided*

**Physical Access Control**

**100%**

**Question**

29. **Critical** Is a written procedure in place that outlines access control to the facility, property and buildings? Procedure should include details covering issue, removal, and changing of access control devices and ID cards?

**Actual**

- Yes  
 No



[Access control procedure.jpg](#)

**Additional Comments:** *No comments were provided*

30. **Must** Are access control procedures or devices used to ensure that only authorized employees have access the facility?

**Actual**

- Yes  
 No

**Additional Comments:** *No comments were provided*

31. **Critical** Is a written and verifiable procedure in place to monitor and limit access to critical operational areas of the facility, such as warehouse picking, final packing or packaging,

shipping and receiving? Access should be limited to only authorized employees.

**Actual**

- Yes
- No
- NA



[Critical operational area access control procedure.jpg](#)

**Additional Comments:** *No comments were provided*

- 
32. **Critical** Is a written and verifiable procedure in place to require a visitor to present photo identification upon arrival and their information is recorded into a visitor log? Select all that apply.

**Actual**

- Nothing in place
- Procedure is written
- Visitor sign-in log in use
- Photo ID checked



[Visitor log book.jpg](#)

**Additional Comments:** *No comments were provided*

- 
33. **Should** Is a written and verifiable procedure in place to inspect a visitor's bag or package before entering and leaving the manufacturing, production or shipping area of the facility?

**Actual**

- Yes
- No

**Additional Comments:** The factory has established a written and verifiable procedure in place to inspect a visitor's bag or package before entering and leaving the manufacturing, production and shipping area.

- 
34. **Must** Is a visitor issued a numbered visitor badge which is displayed while at the facility?

**Actual**

- Yes
- No
- Badges issued, but not numbered
- NA

**Additional Comments:** *No comments were provided*

- 
35. **Must** Is a visitor escorted at all times while at the facility?

**Actual**

- Yes

No

**Additional Comments:** *No comments were provided*

- 
36. **Must** Is a written and verifiable procedure in place to inspect a suspicious package and mail for dangerous materials prior to distribution?

**Actual**

Yes  
 No  
 NA

**Additional Comments:** *No comments were provided*

- 
37. **Must** Are employees required to display their ID badge at all times while at the facility?

**Actual**

Yes  
 No  
 NA

**Additional Comments:** *No comments were provided*

- 
38. **Must** Is a written and verifiable procedure in place to identify, challenge, and remove an unauthorized person at the facility?

**Actual**

Yes  
 No

**Additional Comments:** *No comments were provided*

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**Personnel Security**

**95%**

**Question**

39. **Must** Is an employee hiring procedure documented and implemented? Select all that apply.

**Actual**

Nothing in place  
 Policy is written  
 Procedures for hiring  
 Procedures for applications  
 Employee documentation  
 New employee screening

**Additional Comments:** *No comments were provided*

- 
40. **Must** Are permanent and temporary job applicant(s) required to submit a written application

for employment and provide proof of their identity? Select all that apply.

**Actual**

- No requirement
- Written application required
- Government issued ID required

**Additional Comments:** *No comments were provided*

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41. **Must** Is a written and verifiable procedure in place to validate information provided on an employment application, such as an address, previous employment history, education, personal or professional references, and a certification? Select all that apply.

**Actual**

- Nothing in place
- Policy is written
- Education check
- Reference check
- Previous employment check

**Additional Comments:** The factory has established a relevant procedure to check all employees' education, previous employment and reference information, but no employees' education information in the application form.

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42. **Must** If allowed by local law, is a written procedure in place to perform a background check on an applicant and employee who works in sensitive area of the facility, such as personnel, shipping, computer systems, or contract employees?

**Actual**

- No
- Policy is written
- Criminal background checks
- NA

**Additional Comments:** The factory had conducted criminal background check for workers in sensitive areas.

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43. **Must** Is a written and verifiable procedure in place to remove facility access, such as a facility issued ID badge or card and a computer access code from any employee who has resigned, was terminated, or takes an extended leave of absence?

**Actual**

- Yes
- No

**Additional Comments:** *No comments were provided*

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**Question**

44. **Must** Is a written and verifiable procedure in place that requires all information used in the shipping documents for merchandise/cargo to be legible, complete, and accurate?

**Actual**

- Yes  
 No

**Additional Comments:** *No comments were provided*

45. **Must** Is a written and verifiable procedure in place that restricts access to shipping and receiving documentation? Access should be limited to only personnel required to complete and review the documents.

**Actual**

- Yes  
 No

**Additional Comments:** *No comments were provided*

46. **Should** Is a written and verifiable procedure in place to communicate business information necessary for customs clearance within 24 hours of shipment departure from the facility?

**Actual**

- Yes  
 No  
 NA

**Additional Comments:** The facility has established a written procedure in place to communicate business information necessary for customs clearance within 24 hours of shipment departure from the facility.

47. **Must** Is an international shipment marked, counted, weighed, and properly reported on the commercial invoice and bill of lading? Note due to Safety of Life at Sea (SOLAS) accurate container weights are now required for all ocean going shipments FCL and LCL.

**Actual**

- Yes  
 No  
 NA

**Additional Comments:** *No comments were provided*

48. **Critical** Is a written and verifiable procedure in place to protect against the introduction of unauthorized and un-manifested materials during the container and trailer loading and shipping processes?

**Actual**

- Yes

- No
- NA



[Container and trailer loading and shipping processes control procedure.jpg](#)

**Additional Comments:** *No comments were provided*

49. **Must** Is a written and verifiable procedure in place to resolve a carton count shortage, overage, or any documentation issue found during container or trailer loading; or after the shipment has departed the facility?

**Actual**

- Yes
- No
- NA

**Additional Comments:** *No comments were provided*

50. **Critical** Is a written and verifiable procedure in place to notify local law enforcement and the customer when illegal shipping activity or any abnormality is suspected or detected? Select all that apply.

**Actual**

- Nothing in place
- Procedure is written
- Local law enforcement notified
- Customer notified



[Illegal shipping activity or abnormality reporting procedure.jpg](#)

**Additional Comments:** *No comments were provided*

**Physical Security**

**82%**

**Question**

51. **Must** Is there a designated employee and visitor vehicle parking area separated from the shipping and receiving area? Select all that apply.

**Actual**

- No
- Shipping & Receiving fenced



- No personally owned vehicles are permitted in Shipping & Receiving area
- Access controlled

**Additional Comments:** *No comments were provided*

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52. **Must** Is the area adjacent to the shipping and receiving areas enclosed or otherwise monitored?

**Actual**

- Yes
- No

**Additional Comments:** *No comments were provided*

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53. **Must** Does the shipping area have a fence, a wall, or other controls separating domestic, hazardous, high value, and international goods and materials?

**Actual**

- Yes
- No

**Additional Comments:** *No comments were provided*

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54. **Must** Is a preventative maintenance procedure in place that requires a regular inspection of perimeter fencing or other barriers, buildings, and structures? Select all that apply.

**Actual**

- Nothing in place
- Procedure is written
- Regular inspections are documented
- Preventative maintenance logs kept

**Additional Comments:** The barriers, exterior fencing lighting is inspected and maintained.

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55. **Must** Are facility gates through which vehicles and/or employees enter and exit guarded or monitored and secured when not in use?

**Actual**

- Yes
- No
- NA



[Entrance gate and front of the facility.jpg](#)

**Additional Comments:** *No comments were provided*

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56. **Must** In the event of a power outage, does the facility have an alternate electrical power system to ensure uninterrupted operation of electronic security systems?

**Actual**

- Yes
- No
- NA

**Additional Comments:** There was no emergency power supply for the CCTV system in the factory.

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57. **Should** Are facility buildings constructed of materials that will resist easy illegal entry?

**Actual**

- Yes
- No
- NA

**Additional Comments:** *No comments were provided*

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58. **Must** Are facility windows, gates, fences, and doors secured with locking devices to deter unauthorized access? (Note: a designated fire exit must never be locked from the inside that prevents employees from evacuating the building in an emergency situation.)

**Actual**

- Yes
- No

**Additional Comments:** *No comments were provided*

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59. **Must** Is a written and verifiable procedure in place to control the issue, removal, and changing of access devices such as an ID badge, door and lock keys, access cards, and security alarm codes? Select all that apply.

**Actual**

- Nothing in place
- Procedure is written
- Checklist is included in Termination document,

**Additional Comments:** *No comments were provided*

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60. **Must** Does the facility have sufficient lighting at entrances, exits, cargo handling and storage areas, along fence lines, and in parking areas to detect movement during periods of darkness?

**Actual**

- Yes
- Nothing in place
- Interior lighting only
- Exterior lighting only

**Additional Comments:** Based on site observation, one lighting at the factory gate was

broken.

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61. **Should** Does the facility have an anti-intrusion alarm system?

**Actual**

- Yes
- No

**Additional Comments:** The facility did not have an anti-intrusion alarm that is connected to a monitoring system or transmitted to local law enforcement or a third-party monitoring company.

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63. **Should** Is a CCTV system used to monitor the facility and premises' including entrances, exits, cargo storage, shipping, and other loading/unloading areas?

**Actual**

- CCTV
- No CCTV or camera system
- Other surveillance system (please explain)



[CCTV control room and monitors.jpg](#)

**Additional Comments:** *No comments were provided*

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64. **Should** Is a procedure in place to test and inspect the CCTV system? Select all that apply.

**Actual**

- Nothing in place
- Procedure is written
- Regular testing
- Regular inspections
- Preventative maintenance
- Maintenance logs kept
- NA

**Additional Comments:** A procedure is established in place to test and inspection CCTV system. The facility provided preventative maintenance record for review.

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65. **Should** If used, how many days are CCTV recordings kept?

**Actual**

- 90 or more days
- Less than 30 days
- Recordings not retained
- 45 - 89 days
- 30 - 44 days
- NA

**Additional Comments:** The CCTV records could not be kept 90 days, it was only be kept 49

days.

- 
66. Describe the front of the factory building including any signage. Please attach a picture.

**Comments:** Total 1 entrance gate was available for the facility which was manned and controlled by security guards 24 hours/7days and monitored by CCTV system and adequate lighting. Security signage were posted on the front of the security guard station requiring that all visitors must be verified against their identifications with photos and logged in.

And all employees were required to wear worker badges during entering and leaving the facility.



[Building front including signage.jpg](#)

- 
67. Describe the guard station and facility access gates. Please attach a picture.

**Comments:** Total 1 gate was available for accessing to the facility. Total 5 security guards operated by 2 shifts with 24 hours/7days. Security guards would conduct photo identification check of visitors, drivers, inspecting vehicles and log in the records.



[Guard station and access gate.jpg](#)

- 
68. Describe the buildings and structures for this location. Please attach a picture.

**Comments:** There were one 4-floor production building and one 4-storey dormitory building in the same fence of the factory. The factory building materials (concrete, brick and steel barriers) and construction could provide resistance to unlawful entry and outside intrusion. Moreover, the building structures were regularly inspected by security guards once per two hours with records available. All windows could be locked in production building.



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69. Describe the shipping and receiving areas. Please attach a picture.

**Comments:** Based on onsite observation and employees interview, visitors who access to the shipping area, finished goods warehouse etc. would be positively identified and all these areas were restricted and access was physically controlled. Visitors were required to log and escort. Lighting equipped at the receiving and shipping area was adequate.

[Shipping and receiving area.pdf](#)

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70. Describe the final packaging area. Please attach a picture.

**Comments:** Based on onsite observation, the packing area were monitored by cameras.the authorized person could access to the final packing area and finished goods warehouse and the relevant authorized name list was posted on site.



[Final packaging area.jpg](#)

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71. Describe any container storage and vehicle parking areas and please attach picture.

**Comments:** The factory defined vehicle parking area and container storage area on site. All visitors would be positively identified and all these areas were restricted and access was physically controlled. Visitors were required to log and escort.

[Containers storage and vehicle parking areas.pdf](#)

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**Security Training & Threat Awareness**

**100%**

**Question**

72. **Should** Is a security Threat Awareness training program established and maintained? Is training provided to all new employees and current employees as an annual refresher? Select all that apply.

**Actual**

- Nothing in place
- Procedure is written
- Yes - to all employees, on hire
- Yes - to all employees, annually

**Additional Comments:** *No comments were provided*

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73. **Must** Does Threat Awareness training identify unique risks for sensitive or restricted areas of the facility such as final packing, shipping and receiving?

**Actual**

- Yes
- No

**Additional Comments:** *No comments were provided*

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74. **Must** Does Threat Awareness training inform employees of procedures to report suspicious activity or a security incident?

**Actual**

- Yes
- No

**Additional Comments:** *No comments were provided*

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75. **Must** Does Threat Awareness training provide additional instruction to shipping and receiving employees regarding access controls, container and trailer inspection, and security seal control procedures? Select all that apply.

**Actual**

- Nothing in place
- Shipping & Receiving controls
- Seal controls
- Container/trailer inspections
- Container/trailer sealing

**Additional Comments:** *No comments were provided*

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76. **Should** Does the training program include criteria critical to security programs such as Threat Awareness, Contraband, Human Smuggling and Terrorism? Select all that apply.

**Actual**

- Nothing in place
- Threat awareness
- Contraband
- Human smuggling
- Terrorism

**Additional Comments:** The training program is included contraband or human smuggling now.

77. **Should** Does the facility have a program to recognize an employee when reporting a security incident or recommending improvements?

**Actual**

- Nothing in place  
 Incentive/recognition program

**Additional Comments:** *No comments were provided*

**Information Technology Security**

**100%**

**Question**

78. **Must** Is a written information technology system security policy in place? Select all that apply.

**Actual**

- Nothing in place  
 Policy is written  
 Assignment and removal of access controls  
 NA

**Additional Comments:** *No comments were provided*

79. **Must** Do automated systems at the facility have individually assigned user accounts that require a periodic change of password? Select all that apply.

**Actual**

- Nothing in place  
 Individually assigned accounts  
 Periodic password changes  
 NA

**Additional Comments:** *No comments were provided*

80. **Should** Are written procedures and automated back-up capabilities in place to protect against the loss of data?

**Actual**

- Nothing in place  
 Procedure is written - Automated back-up  
 Procedure is Written -Manual back-up  
 Procedure is written - No back-ups  
 NA

**Additional Comments:** *No comments were provided*

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81. **Should** Are automated systems in place to monitor for and prevent attempts of unauthorized access and tampering with systems and/or electronic data?

**Actual**

- Yes
- No
- NA

**Additional Comments:** *No comments were provided*

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82. **Should** Are employees with computer systems access aware of and receive training about information technology system policies, procedures, and security standards; and is employee training documented and retained? Select all that apply.

**Actual**

- Nothing in place
- Employees trained
- Training documented and retained
- Training material available
- NA

**Additional Comments:** *No comments were provided*

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83. **Should** Is an employee who violates or abuses the information technology policies and procedures subject to disciplinary action?

**Actual**

- Yes
- No
- NA

**Additional Comments:** *No comments were provided*

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84. Did the Factory Representative and the Auditor sign the Opening Meeting Letter? Please attach the signed copy.

**Actual**

- Yes
- No

[Open meeting letter.pdf](#)

**Additional Comments:** *No comments were provided*

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**ATTACHED DOCUMENTATION - PHOTOS**

Container & Trailer Security - Question # 6



Container & Trailer Security - Question # 8



Container & Trailer Security - Question # 18

### 货柜车7点检查记录

检查日期: 9.2	铅封号: HLB6C33124	车牌号: 粤B18731	
司机: 杨斌	货柜箱号: WACU3623402	检查人: 江伟	
检 查 项 目	检 查 结 果		备 注
	是	否	
<b>1. 前端</b>			
端墙是否凹痕、刻孔或有明显的修补		X	
角柱是否变形、凹痕或被损坏、焊接		X	
前门栏上下是否弯曲或被损坏、焊接		X	
前端是否有洞		X	
<b>2. 左右侧</b>			
通风口是否被损坏或缺少		X	
焊接或用铆钉牢的角柱孔位是否变形或损坏		X	
上部或下部的角柱孔位铁块是否变形或损坏		X	
左右侧板材是否有凹痕、损坏或明显的修补		X	
左右侧是否有洞		X	
<b>3. 柜顶</b>			
旁边端架是否被损坏		X	
前后的顶梁是否损坏或有修补		X	
柜顶高度是否在角柱孔位铁块之上		X	
凹痕或其它地方是否有损坏或有明显的修补		X	
柜顶是否有洞		X	
<b>4. 后端(门的内、外侧)</b>			
后门栏是否弯曲、切割或损坏, 有明显的修补过		X	
左右门框架是否被弯曲或损坏, 有明显的修补过		X	
门框架和铰链及铰链插是否被弯曲或损坏		X	
门是否被损坏或不闭合, 不方便关		X	
垂直锁闭是否被弯曲或损坏		X	
门把手和固定的装置是否被弯曲, 损坏或缺少		X	
门锁位和固定装置是否被弯曲, 损坏或缺少		X	
门底部的垫圈是否缺少或移位		X	
内门板是否被遮盖		X	
门和后端是否有洞		X	
<b>5. 内部(天花板/顶部/地板)</b>			
地板折断或损坏, 有明显的修补或部分被移位过		X	
顶部凹槽是否损坏或没有		X	
是否有明显的水渍		X	
是否有伪造的天花板, 测量内外高度是否不一致		X	
是否有伪造的面板, 测量内外侧长度是否不一致		X	
是否有伪造的地板, 测量内外高度是否不一致		X	
顶部角落的角铁是否有缺少或破损		X	
左右侧角柱是否被遮盖住		X	
地板是否有洞		X	
<b>6. 下面(车底盘支架内、外侧)</b>			
是否有底梁或被附上东西		X	
<b>7. 整体外观是否经过检查, 完整无异常</b>			
货柜车司机身份是否有经过核实		√	
货柜封铅是否锁紧, 及完好		√	
备注: 请检查人员就实际“检查结果”在“是”与“否”栏内对应打“√”或“X”			

车辆登记表

序号	登记日期	车牌号码	司机姓名	司机证件号	来访证号	原因(如提货或交货)	进入时间	离开时间	携带物品	证件回收	保安检查及确认
1	7-1	S9C100	张志明	420529198401304512	001	送货	10:25	10:40	无	✓	张志明
2	7-1	C88002	张志明	5227219870102116	001	送货	11:00	11:50	无	✓	张志明
3	7-2	S7M756	张志明	441701198901080004	001	送货	02:00	02:35	无	✓	张志明
4	7-2	S7B487	王强	522321198608063455	001	送货	14:00	14:35	无	✓	王强
5	7-3	S0660	张志明	430524198209020032	007	送货	10:00	10:35	无	✓	张志明
6	7-3	S92052	张志明	452225198010182937	002	送货	10:05	10:40	无	✓	张志明
7	7-4	S568AD	张志明	411303199305195128	001	送货	14:00	14:35	无	✓	张志明
8	7-5	SAMU91	张志明	533523198600914935	001	送货	10:50	11:30	无	✓	张志明
9	7-6	S24021	张志明	44190319840105171	002	送货	11:00	11:35	无	✓	张志明
10	7-8	S61591	张志明	4403811982062834	001	送货	14:05	14:30	无	✓	张志明
11	7-9	S65207	张志明	3621311975065719	001	送货	09:00	09:35	无	✓	张志明
12	7-9	S58910	张志明	41302319750933354	003	送货	14:05	14:30	无	✓	张志明
13	7-10	S2319B	张志明	510601198612065116	001	送货	10:05	10:40	无	✓	张志明
14	7-11	NH6990	张志明	3620051986060706X	002	送货	14:00	14:35	无	✓	张志明
15	7-12	A41980	张志明	43038119900503064	001	送货	10:00	10:35	无	✓	张志明
16	7-13	S26973	张志明	452223198511017018	001	送货	10:40	11:35	无	✓	张志明
17	7-15	SY667	张志明	41130319880114111	001	送货	10:00	10:40	无	✓	张志明
18	7-16	S0237V	张志明	44038119890608207	002	送货	10:50	11:30	无	✓	张志明
19	7-17	S251Y6	张志明	4129241978091956	003	送货	14:00	14:40	无	✓	张志明
20	7-18	NF0087	张志明	43112119890293812	001	送货	10:00	10:40	无	✓	张志明
21	7-19	S5986	张志明	430426198307017017	002	送货	13:50	14:30	无	✓	张志明
22	7-19	SY3629	张志明	43042119701086074	003	送货	14:05	15:30	无	✓	张志明
23	7-20	S09711	张志明	452221197401071918	003	送货	10:00	10:35	无	✓	张志明

C-TMAT-F-003-A

1.0 目的

本程序的目的是确保我公司在生产、贮存、运输的过程中,和仓库人员遵守美国海关的C-TPAT(海关-贸易伙伴反恐)安全指导,以便于美国以外的运输海关结关不会推迟,或由于窃贼恐怖分子使用以上的环节作运送禁物品进入美国的运输工具。

2.0 范围

本措施适用于美国境外与生产商和仓库人员进行产品的生产,贮存或运输。

3.0 参考文件

C-TPAT 美国海关-贸易伙伴防止恐怖安全指导。

4.0 程序

4.1 人力资源安全控制

4.1.1 所有员工进入厂区内必须佩戴好本人的厂证,凭厂证出入,无佩戴厂证者将要受到盘查并被拒之门外,来访者需到门卫值班室说明来访原因,并做好来访登记,值班员即时进行电话通知被访人,情况属实的发给来访人“访客证”,并由值班员或相关人员带领。

4.1.2 新招聘的员工所持本人身份证必须是真实的,并需填写好个人真实的学籍,工作经历,政治背景及详细地址,对不正确填写以上基本内容及无法核实其真实身份,社会背景者一律不准在本厂招聘范围之内。

4.1.3 每个新员工必须进行职前培训,内容包括:厂规厂纪、消防卫生知识、重要区域进入、货物的保存,信息安全,发现异常的人或可疑的,非法的事应该如何处理方法等。

4.1.4 对从事安全重要岗位(如包装,IT信息,财务,保安,人事,运输、仓管、搬运、装卸)的员工实施通过公司部门协助核其身份,背景,介绍人,主要确认其有否犯罪档案,参加不明党派等。

4.2 生产工场安全控制

4.2.1 生产工场内所领发的物料必须要有收发货单据,任何无单据物料不得在工场内使用,对不明来料及无单据物料的进入必须要做好即时登记,严重的需向厂部汇报及调源。

4.2.2 工场内不允许非生产部门人员的进入,外来考察、检查、验货等人员的进入都要有主管级别以上人员陪同方可进入。

4.2.3 要有指定人员从事包装区域内的工作,所有生产出的成品即时送往成品区如发现成品箱打开应立即通知车间负责人,安排QC及时检查参照签办检查合格方可摆入成品区,所有成品区都属非法进入区域。

4.2.4 所有利器的使用必须有专人负责收发登记,发现有断折的利器需即时收集,如收集不全的需向领导举报,并将利器折断的时间、工作地点及利器编号记录。

1. 总则:

1.1 制定目的:

响应全球各界反恐怖行动, 确保货物财产/人员安全, 确保货物安全快速付运, 明确授权及非授权人员的管理。

1.2 适用范围: 整个工厂。

1.3 权责单位:

1.3.1 管理部: 必须按照该规定履行该岗位的职责, 保安主任确保该规定的贯彻与实施, 管理部负责人抽查监督岗位职责的实施情况。

1.4 名词定义:

授权人: 经过政府公安部门及工厂进行背景调查合法公民; 工厂授权予部分人员担任公司重点岗位;

非授权人: 除授权以外的人员;

2. 内容: :

授权部门及重点项目: 保安部、包装部、仓库(原材料仓、半成品仓、成品仓)、装卸区、业务部、报关船务部、采购部、财务部、IT 管理部;

对已经授权部门的基本要求:

1) 保安、实体保安及门禁管理要求: 保安部门对货物作业区域和存放区域装置围栏或有天然屏障及所有其他授权部门以阻止非授权人员进入;

1.1 对授权人员进行身份确认, 根据《保安大门岗位职责》《保安处理访客程序》《保安反恐手册》进行严格调查; 不能确认身份者, 暂阻止其行动, 立刻禀报上级, 情况严重者可立刻报警有公安部门处理;

1.2 对非授权人员, 根据本公司反恐要求及授权标志核实该人员不属授权人员, 则阻止其当前的动作; 视情况根据公司制度处理; 情节严重的可有法制、公安部门处理;

2) 包装部:

2.1 要求已授权人员佩戴授权人的特别标志物, 如, 佩戴不同颜色的厂牌、袖标、工作服、特别制服等。

2.2 包装部人员严格按照包装工作流程及包装部反恐要求操作, 保证货物的完整性。

3) 生产、成品仓和包装区域的安全控制程序

为了生产和包装区域产品的安全(质量、数量符合要求, 不爽带异物等), 需要作出以下管制:

来访登记表

序号	日期	访客单位	访客姓名	来访证件号码	来访证号	拜访对象	到访原因	携带物品	进入时间	离开时间	证件回收	值班保安
1	10-5	弘善	张明	342225198004113257	003	王军	维修	-	8:00	11:30	✓	姜
2	10-5	弘善	张明	342225198004113257	003	王军	维修	抹布	9:00	10:15	✓	姜
3	10-5	弘善	张明	342225198004113257	003	王军	维修	抹布	10:25	10:50	✓	姜
4	10-5	个人	张明	362202198004113257	008	王军	维修	-	10:35	16:20	✓	姜
5	10-5	弘善	张明	342225198004113257	017	王军	维修	-	19:20	22:12	✓	姜
6	10-6	明正	李志强	00112019720200113	001	王军	维修	小包	9:55	16:10	✓	姜
7	10-6	弘善	张明	342225198004113257	020	王军	维修	-	10:30	11:55	✓	姜
8	10-6	恒信	刘军	432021198105183526	024	王军	维修	抹布	16:20	16:45	✓	姜
9	10-7	恒信	刘军	432021198105183526	022	王军	维修	抹布	10:10	10:55	✓	姜
10	10-7	恒信	刘军	432021198105183526	022	王军	维修	抹布	14:00	14:15	✓	姜
11	10-7	弘善	张明	342225198004113257	023	王军	维修	-	15:25	15:20	✓	姜
12	10-7	弘善	张明	342225198004113257	010	王军	维修	-	18:55	19:20	✓	姜
13	10-9	个人	李军	432021198105183526	002	王军	维修	小包	8:30	9:35	✓	姜
14	10-9	恒信	刘军	432021198105183526	002	王军	维修	抹布	14:50	16:55	✓	姜
15	10-9	弘善	张明	342225198004113257	025	王军	维修	抹布	15:50	16:10	✓	姜
16	10-10	个人	李军	432021198105183526	015	王军	维修	-	8:35	10:05	✓	姜
17	10-10	个人	李军	362202198004113257	009	王军	维修	-	13:50	15:25	✓	姜
18	10-10	弘善	张明	342225198004113257	007	王军	维修	小包	19:01	21:58	✓	姜
19	10-11	弘善	张明	342225198004113257	012	王军	维修	小包	9:45	12:00	✓	姜
20	10-11	个人	李军	362202198004113257	005	王军	维修	-	11:30	16:50	✓	姜

C-TPAT-F-10-A

## 1.0 目的

为保障公司货物及货柜的安全,保证本司给客户提供的产品与服务是在安全的全过程中是在可控制,得到监视的环境中进行的,促进系统全面的控制货物与服务的安全、稳定,制定本制度。

## 2.0 范围

适用于本公司所有产品与物料(原料/半成品/包装材料/辅料配件)及运输工具与设备在装卸、运输及仓储等情况下。

## 3.0 定义

无

## 4.0 职责

4.1 仓库:负责货物的收发,数量的清点,及货物日常安全的维护,装柜人员的管理。

4.2 物流部:负责定柜,相关船务资料的核定,货柜进出的检查。

4.3 报关员:负责与海关通达,督查货物安全交关。

4.4 保安员:负责货物及车辆人员进出的检查与控制,监视与记录整过装卸过程并保持记录。

## 5.0 作业程序

### 5.1 集装箱及拖车安全控制程序

5.1.1 提前定柜与合格承运方选取。

5.1.1.1 生产部确认产品按质按量生产完成前 20 天,通知物流部报关员定柜。

5.1.1.2 报关船务人员得到通知后,核实客户信息及本司提供产品的相关信息(如数量,材质,尺寸,重量,交期等内容),准备向合格的船务公司定柜,并提交相关报关资料给报关员,通知其准备报关。

5.1.1.3 选取合格承运公司

A) 客户有指定,依客户指定的为准。

B) 如客户没有要求,公司必须选用有 C-TPAT 安全管理程序的公司为承运方,优先选用公司常用之承运方。

C) 合格的承运方必须是负责的安全要求符合本司安全规定的运输单位及个人。

5.1.1.4 更换承运方时必须经总经理同意,并进行正常全面的安全考核合格的运输公司才可使用。

### 5.2 提取货柜

1) 生产部相关管理人员根据生产计划的安排和生产进度情况及结合客人货期情况预



1. 目的:

为明确突发性紧急事件, 本公司员工如何及时把突发紧急事故准确的汇报给相关主管部门及相关的主管安全人员, 确保突发紧急事故得到及时处理, 把紧急事故对生命、财产构成的危险减到最少, 特制订本办法。

2. 范围:

2.1 适用于本公司内突发性(包括: 货物失窃事件、不明人员闯入事件、员工打架事件、围厂事件、集装箱与报关文件不符、集装箱有夹带等)紧急事故的处理。

2.2 火灾、水灾、台风、地震、停电、爆炸、食物中毒、传染性疾病、坍塌事故、高处坠落事故等紧急事件处理,

3. 定义: 无

4. 职责:

保安组: 负责本程序之紧急事故的处理。

5. 作业内容:

5.1 紧急事故汇报事件包括:

5.1.1. 货物失窃事件;

5.1.2. 不明人员闯入事件;

5.1.3. 员工打架事件;

5.1.4. 围厂事件。

5.1.5 集装箱与报关文件不符、集装箱有夹带;

5.2 汇报途径:

5.2.1 当发现紧急事故发生时, 发现者应立即向保安组汇报。

5.2.2 保安组值班员接到员工紧急事故的事件汇报后, 应立即把紧急事故情况汇报给保安队长。

5.2.3 保安队长接到紧急事故的事件汇报后, 如事态严重, 应立即向行政相关主管及辖区公安机关或海关汇报。

5.2.4 紧急联络电话:

匪警电话 110

火警电话 119

急救电话 120

派出所:

安全主任:

海关电话:

医院:

5.3 紧急事故处理程序

5.3.1 货物失窃事件的处理



Physical Security - Question # 63



Physical Security - Question # 66



Physical Security - Question # 67



Physical Security - Question # 68



Physical Security - Question # 70

